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U. S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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|---|---|---|
| <b>TRANSMITTAL LETTER TO THE UNITED STATES<br/>DESIGNATED/ELECTED OFFICE (DO/EO/US)<br/>CONCERNING A SUBMISSION UNDER 35 U.S.C. 371</b>   |   | ATTORNEY'S DOCKET NUMBER<br><b>CCI-068US</b><br>U.S. APPLICATION NO. (if known, see 37 CFR 1.5)<br><b>10/588372</b> |
| INTERNATIONAL APPLICATION NO.<br><b>PCT/GB2005/000405</b>   | INTERNATIONAL FILING DATE<br><b>7 February 2005</b> | PRIORITY DATE CLAIMED<br><b>6 February 2004</b>   |
| TITLE OF INVENTION<br><b>COMPOUNDS</b>  |   |   |
| APPLICANT(S) FOR DO/EO/US<br><b>Kenneth DUNCAN et al.</b>   |   |   |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:   |   |   |
| 1. <input type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a submission under 35 U.S.C. 371.   |   |   |
| 2. <input checked="" type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a submission under 35 U.S.C. 371.  |   |   |
| 3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below. |   |   |
| 4. <input type="checkbox"/> The US has been elected (Article 31).   |   |   |
| 5. <input type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371 (c)(2))   |   |   |
| a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).   |   |   |
| b. <input type="checkbox"/> has been communicated by the International Bureau.  |   |   |
| c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).  |   |   |
| 6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).  |   |   |
| a. <input type="checkbox"/> is attached hereto.   |   |   |
| b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).  |   |   |
| 7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))  |   |   |
| a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).  |   |   |
| b. <input type="checkbox"/> have been communicated by the International Bureau.   |   |   |
| c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.   |   |   |
| d. <input type="checkbox"/> have not been made and will not be made.  |   |   |
| 8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).   |   |   |
| 9. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).  |   |   |
| 10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).                   |   |   |
| <b>Items 11 to 20 below concern document(s) or information included:</b>  |   |   |
| 11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.  |   |   |
| 12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.  |   |   |
| 13. <input type="checkbox"/> A preliminary amendment.   |   |   |
| 14. <input type="checkbox"/> An Application Data Sheet under 37 CFR 1.76.   |   |   |
| 15. <input type="checkbox"/> A substitute specification.  |   |   |
| 16. <input type="checkbox"/> A power of attorney and/or change of address letter.   |   |   |
| 17. <input checked="" type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 – 1.825.  |   |   |
| 18. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4).  |   |   |
| 19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).  |   |   |

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| U.S. APPLICATION NO. (if known, see 37 CFR 1.5)<br><b>10/588372</b>   | INTERNATIONAL APPLICATION NO.<br><b>PCT/GB2005/000405</b> | ATTORNEY'S DOCKET NUMBER<br><b>CCI-068US</b>                                  |
| 20. <input checked="" type="checkbox"/> Other items or information: Amendment in Response to Notice under 37 C.F.R. Sections 1.821-1.825, Statement to Support Filing and Submission in Accordance with 37 C.F.R. Sections 1.821-1.825, Certificate of Express Mailing, Copy of Notification to Comply with Requirements for Patent Applications Containing Nucleotide and/or Amino Acid Sequence Disclosures, Return Receipt Postcard  |   |   |
| The following fees have been submitted  |   | <b>CALCULATIONS</b>   |
| 21. <input type="checkbox"/> Basic national fee (37 CFR 1.492(a)) ..... \$310   |   | \$  |
| 22. <input type="checkbox"/> Examination fee (37 CFR 1.492(c))<br>If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4) ..... \$0<br>All other situations ..... \$210  |   | \$  |
| 23. <input type="checkbox"/> Search fee (37 CFR 1.492(b))<br>If the written opinion of the ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4) ..... \$0<br>Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority ..... \$100<br>International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB ..... \$410<br>All other situations ..... \$510 |   | \$  |
| <b>TOTAL OF 21, 22 and 23 =</b>   |   | <b>\$ 0.00</b>  |
| <input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (e) or in an electronic medium or computer program listing in an electronic medium) (37 CFR 1.492(j)).<br>The fee is \$260 for each additional 50 sheets of paper or fraction thereof.  |   |   |
| Total Sheets  | Extra Sheets  | Number of each additional 50 or fraction thereof (round up to a whole number) |
| - 100 =   | /50 =   | x \$260.00  |
|   |   | \$  |
| Surcharge of \$130 for furnishing any of the search fee, examination fee, or the oath or declaration after the date of commencement of the national stage (37 CFR 1.492(h)).  |   | \$  |
| CLAIMS  | NUMBER FILED  | NUMBER EXTRA  |
| Total claims  | - 46 =  | x x \$50  |
| Independent claims  | - 3 =   | x x \$210   |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable)   |   | + + \$370   |
| <b>TOTAL OF ABOVE CALCULATIONS =</b>  |   | <b>\$ 0.00</b>  |
| <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2.   |   | 0.00  |
| <b>SUBTOTAL =</b>   |   | <b>\$ 0.00</b>  |
| Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).   |   | \$  |
| <b>TOTAL NATIONAL FEE =</b>   |   | <b>\$ 0.00</b>  |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +  |   | \$  |
|   |   | \$  |
| <b>TOTAL FEES ENCLOSED =</b>  |   | <b>\$ 0.00</b>  |
|   |   | Amount to be refunded: \$   |
|   |   | Amount to be charged \$   |

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

- a. ☐ A check in the amount of \$ \_\_\_\_\_ to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ 0.00 to cover the above fees.  
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 12-0080. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038. The PTO-2038 should only be mailed or faxed to the USPTO. However, when paying the basic national fee, the PTO-2038 may NOT be faxed to the USPTO.

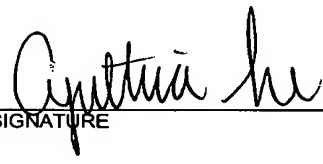
**ADVISORY:** If filing by EFS-Web, do NOT attach the PTO-2038 form as a PDF along with your EFS-Web submission. Please be advised that this is not recommended and by doing so your credit card information may be displayed via PAIR. To protect your information, it is recommended paying fees online by using the electronic payment method.

**NOTE:** Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO:

Giulio A. DeConti, Jr., Esq.  
LAHIVE & COCKFIELD, LLP  
One Post Office Square  
Boston, Massachusetts 02109-2127  
(617) 994-0771

CUSTOMER NUMBER: 00959

  
SIGNATURE

Cynthia M. Soroos  
NAME

53,623  
REGISTRATION NUMBER

October 24, 2007  
DATE

## Certificate of Express Mailing Under 37 CFR 1.10

I hereby certify that this correspondence is being deposited with the United States Postal Service as Express Mail, Airbill No. EV 957643497 US in an envelope addressed to:

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on October 24, 2007  
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Signature

Cynthia M. Soroos

Typed or printed name of person signing Certificate

53,623  
Registration Number, if applicable

(617) 994-0858  
Telephone Number

Note: Each paper must have its own certificate of mailing, or this certificate must identify each submitted paper.

Transmittal Letter to the United States Designated-Elected Office and Certificate of Express Mailing (4 pages)  
Amendment in Response to Notice under 37 C.F.R. Sections 1.821-1.825 (4 pages)  
Statement to Support Filing and Submission in Accordance with 37 C.F.R. Sections 1.821-1.825 (2 pages)  
Computer readable Sequence Listing (1 disk)  
Copy of Notification to Comply with Requirements for Patent Applications Containing Nucleotide and/or Amino Acid Sequence Disclosures (2 pages)  
Return Receipt Postcard



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|   |   |                               |
|---|---|-------------------------------|
| U.S. APPLICATION NUMBER NO.<br>10/588,372 | FIRST NAMED APPLICANT<br>Kenneth Duncan | ATTY. DOCKET NO.<br>CCI-068US |
|---|---|-------------------------------|

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| INTERNATIONAL APPLICATION NO.<br>PCT/GB05/00405 |
|---|

|                                |                             |
|--------------------------------|-----------------------------|
| I.A. FILING DATE<br>02/07/2005 | PRIORITY DATE<br>02/06/2004 |
|--------------------------------|-----------------------------|

959  
 LAHIVE & COCKFIELD, LLP  
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 BOSTON, MA 02109-2127

DOCKETED

*Oct. 24, 2007 - Req. to Comply w/ Req.  
 (Seq.)  
 Mon. 24, 2008 - ESP*

CONFIRMATION NO. 8452

371 FORMALITIES LETTER



\*OC000000025543842\*

Date Mailed: 08/24/2007

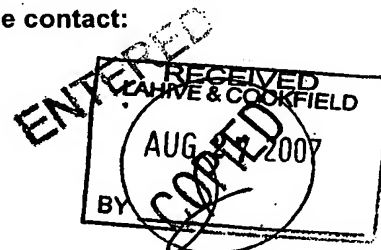
### NOTIFICATION TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS CONTAINING NUCLEOTIDE AND/OR AMINO ACID SEQUENCE DISCLOSURES

Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file the items indicated below to avoid abandonment. Extensions of time may be obtained under the provisions of 37 CFR 1.136(a).

- This application clearly fails to comply with the requirements of 37 CFR. 1.821-1.825. Applicant's attention is directed to the final rulemaking notice published at 55 FR 18230 (May 1, 1990), and 1114 OG 29 (May 15, 1990). If the effective filing date is on or after July 1, 1998, see the final rulemaking notice published at 63 FR 29620 (June 1, 1998) and 1211 OG 82 (June 23, 1998). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing", an initial paper or compact disc copy of the "Sequence Listing", **as well as an amendment specifically directing its entry into the application.** Applicant must also provide a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.
- A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 CFR 1.821(e). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing" and a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

Applicant is cautioned that correction of the above items may cause the specification and drawings page count to exceed 100 pages. If the specification and drawings exceed 100 pages, applicant will need to submit the required application size fee.

For questions regarding compliance to 37 CFR 1.821-1.825 requirements, please contact:



- For Rules Interpretation, call (571) 272-0951
- For Patentin Software Program Help, call Patent EBC at 1-866-217-9197 or directly at 703-305-3028 / 703-308-6845 between the hours of 6 a.m. and 12 midnight, Monday through Friday, EST.
- Send e-mail correspondence for Patentin Software Program Help @ [ebc@uspto.gov](mailto:ebc@uspto.gov)

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

Registered users of EFS-Web may alternatively submit their reply to this notice via EFS-Web.  
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For more information about EFS-Web please call the USPTO Electronic Business Center at 1-866-217-9197 or visit our website at <http://www.uspto.gov/ebc>.

**If you are not using EFS-Web to submit your reply, you must include a copy of this notice.**

KAREN R MCLEAN

Telephone: (703) 308-9140 EXT 214

PART 1 - ATTORNEY/APPLICANT COPY

| U.S. APPLICATION NUMBER NO. | INTERNATIONAL APPLICATION NO. | ATTY. DOCKET NO. |
|-----------------------------|-------------------------------|------------------|
| 10/588,372                  | PCT/GB05/00405                | CCI-068US        |

FORM PCT/DO/EO/922 (371 Formalities Notice)